



Cp 2811 DWP

ATTORNEY DOCKET NO.: C01104/70076 (RJP/JT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Kevin J. Dowling, et al.
Serial No: 09/923,223
Confirmation. No.: 8966
Filed: August 6, 2001
For: ULTRAVIOLET LIGHT EMITTING DIODE SYSTEMS AND METHODS

Examiner: Not Yet Assigned
Art Unit: 2811

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Commissioner for Patents, Washington, D.C. 20231, on the 5th day of September, 2002.

Jamie Michalski
Jamie Michalski

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Commissioner For Patents
Washington, D.C. 20231

TRANSMITTAL LETTER

Sir:

Transmitted herewith for filing are the following documents:

- [X] STATEMENT FILED PURSUANT TO THE DUTY OF
DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98
PTO FORM 1449 AND REFERENCES CITED
[X] RETURN POST CARD

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned collect at (617)720-3500, Boston, Massachusetts.

No check is enclosed. If a fee is needed, it may be charged to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully submitted,

Kevin J. Dowling, et al., Applicants

By: [Signature]
Joseph Teja, Jr., Reg. No.: 45,157
Wolf, Greenfield & Sacks, P.C.
600 Atlantic Avenue
Boston, Massachusetts 02210-2211
Telephone: (617)720-3500

Docket No. C01104/70076 (RJP/JT)
Date: September 5, 2002
X (9/24/02)



ATTORNEY DOCKET NO: C01104/70076 (RJP/JT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

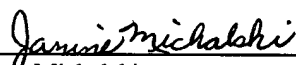
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Janine Michalski

Commissioner for Patents
Washington, D.C. 20231

**STATEMENT FILED PURSUANT TO THE DUTY OF
DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98**

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicant requests consideration of this Information Disclosure Statement.

PART I: Compliance with 37 C.F.R. §1.97

This Information Disclosure Statement has been filed before the mailing date of a first Office Action on the merits in the above-identified case.

No fee or certification is required.

PART II: Compliance with 37 CFR §1.704(d)

Each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart application and this

communication was not received by the office of the undersigned more than 30 days prior to filing of this Information Disclosure Statement.

PART III: Information Cited

The Applicant hereby makes of record in the above-identified application the information listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.

PART IV: Remarks

Documents cited anywhere in the Information Disclosure Statement are enclosed unless otherwise indicated. It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;
3. The citations for the information be printed on any patent which issues from this application.

By submitting this Information Disclosure Statement, the Applicant makes no representation that a search has been performed, of the extent of any search performed, or that more relevant information does not exist.

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

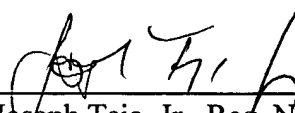
By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicant, the Examiner is urged to form his own conclusion regarding the relevance of the cited information.

An early and favorable action is hereby requested.

Respectfully submitted,

Kevin J. Dowling, Applicants

By: 

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Wolf, Greenfield & Sacks, P.C.
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Boston, Massachusetts 02210-2211
Telephone: (617) 720-3500

Docket No. C01104/70076 (RJP/JT)

Date: September 5, 2002

FORM PTO-1449/A and B (Modified) INFORMATION DISCLOSURE STATEMENT BY APPLICANT		APPLICATION NO.: 09/923,223		ATTY. DOCKET NO.: C01104/70076 (RJP//JT)	
		FILING DATE: August 6, 2001		CONFIRMATION NO.: 8966	
		APPLICANT: Kevin J. Dowling, et al.			
		GROUP ART UNIT: 2811		EXAMINER: Not Yet Assigned	
Sheet	1	of	1		

U.S. PATENT DOCUMENTS

Examiner's Initials	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication or of issue of Cited Document MM-DD-YYYY
		Number	Kind Code		
		5,919,422		Yamanaka, et al.	07/05/1999
		4,899,057		Koji	02/06/1990

FOREIGN PATENT DOCUMENTS

Examiner's Initials	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document (not necessary)	Date of Publication of Cited Document MM-DD-YYYY	Translation (Y/N)
		Office/ Country	Number	Kind Code			
		Europe	EP 0 780 103	A2	Heraeus Kulzer GmbH	09/07/1996	N
		Europe	EP 0 263 185	A1	Hoshin Kagaku Sangyosho Co.	03/26/1987	
		Japan	10233532		Houshin Kagaku	09/02/1998	N (Abstract in English)
		Japan	09000941		Toyoda Gosei Co. Ltd.	01/07/1997	N (Abstract in English)
		Japan	09000940		Toyoda Gosei Co. Ltd.	01/07/1997	N (Abstract in English)
		Japan	11155932		Sanyo Electric Co Ltd. (Abstract Only)	06/15/1999	

OTHER ART — NON PATENT LITERATURE DOCUMENTS

Examiner's Initials	Cite No	Include name of the author (in CAPITAL LETTERS) title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, relevant page(s), volume-issue number(s), publisher, city and/or country where published.	Translation (Y/N)
		International Search Report from PCT Application PCT/US01/41569	

EXAMINER	DATE CONSIDERED
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#EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

*a copy of this reference is not provided as it was previously cited by or submitted to the office in a prior application, Serial No. __, filed __, and relied upon for an earlier filing date under 35 U.S.C. 120 (continuation, continuation-in-part, and divisional applications).

[NOTE - Must provide a copy of any patent, publication, other information listed, even if it was previously submitted to, or cited by, the U.S. Patent Office in an earlier application, unless the earlier application is identified by the IDS and is relied upon for an earlier filing date under 35 U.S.C. §120, and the copy was provided in the earlier application.]